Part VIII Employer Reporting System (ERS) Internet User Instructions

CHAPTER 1: Introduction

Purpose

The site, https://secure.rrb.gov/employer, is an official United States Government site intended for use by employers covered under the Railroad Retirement and Railroad Unemployment Insurance Acts in filing service and compensation reports with the Railroad Retirement Board and related activities. The site is referred to as the Employer Reporting System (ERS.)

Overview of employer reporting site

The ERS web site includes or will include:
- roles-based access system,
- forms that employers can complete and file on line with RRB,
- informational notices made available to employers on line,
- request forms sent to employers for their response,
- summary reports of compensation processed on the system, and
- e-mail notices to employers and e-mail comments to RRB.

Forms will be added to the site periodically. The three forms listed in the following paragraph are currently available. Nearly all the forms that the RRB and employers use to exchange information will eventually be available for Internet filing. In the mean time, some sections may be reserved for future instructions.

Overview of this Part

This part consists of the following chapters:
1. Introduction;
2. General Instructions for accessing and using the ERS System;
3. How to Initiate a service and compensation report to RRB;
   a. BA-4, Report of Creditable Compensation Adjustments,
   b. BA-6a, Form BA-6 Address Report,
4. How to reply to a form request from RRB;
   a. BA-6a, Form BA-6 Address Report,
   b. GL-129a, Record of Employer Determination on Employee Protest
5. Informational notices to employers;
6. E-mail: Notices to employers and employer comments to RRB;
7. Summary reports of compensation processed using this system;
8. Guidelines for Access and Security; and
9. Form DC-1 on RRBLink Internet Site.

CHAPTER 1: Introduction, Continued

What is not in this part

The instructions in this Part are limited to using the Internet site. Instructions for determining what constitutes creditable and reportable service and compensation are found in Part IV. Form BA-12, Application for Employer Reporting System, is in the Exhibits.

Chapter 2: General Instructions for accessing the ERS system

Obtain an application form

To receive access to the RRB Employer Reporting System (ERS) web site, an employee of a covered employer must complete Form BA-12, Application for Employer Reporting System. The BA-12 application form is available in the Exhibits to these instructions and on the Internet.

To access the BA-12 on-line:

- Rail carriers go to www.rrb.gov/mmoinstr.html
- Labor employers go to www.rrb.gov/lmoinstr.html.

This brings up the Table of Contents for the instructions. Forms are in the Exhibits section.

Complete Form BA-12

Complete the employee section of the form, read the *Access and Security Guidelines* in Chapter 8, and sign the certification. Have your supervisor or manager assign the access level and sign that portion of the form. An explanation of access levels is below.

Certify Form BA-12

The form must be signed by an official of the company who has signature authority to sign RRB forms. Signatures of two individuals are not required if the applicant has authority to sign RRB forms. In that case, the applicant must still sign in both in Section B as applicant and in Section D as authorizer. The head of the company and those persons designated on Form G-117A "Designation of Contact Official" are assumed to have signature authority. A contact official may assign signature authority to a designee. The RRB will investigate with the contact official any signatures other than those of the contact official or company head.

Mail Form BA-12

Form BA-12 cannot be completed or filed on the web site. To deter fraudulent use of the site, the application must include written signatures and be transmitted using the US Mail. The applicant must certify in writing that he or she will follow the RRB's security guidelines. The guidelines are contained in Chapter 8 of this part.

Chapter 2: General Instructions for accessing the ERS system,
Continued

Explanation of access levels

Access is to specific forms

When the RRB was developing requirements for the Internet system, some employers required that the work of a department remain private within that department. As a result, we developed a "roles-based access" which provides access on an individual form basis. An employee's access is expected to be specific to their role, or work, at their company. If a form is used only by one department, access can be limited to employees in that department.

Two-step update and approval process

Again, when developing requirements, some employers required that a manager review and certify service and compensation reports completed by their staff. Others indicated that the person authorized to complete the report was also authorized to certify and file the report without additional review. No employer required a review of forms other than BA-3a, BA-4, and BA-10 as these are the only forms which change the RRB record of an employee's service and compensation.

The RRB access system was designed to account for all of these differences. A separate update function was developed for Form BA-4. If you wish to use a second person as a reviewer, assign update access to the staff who prepare the BA-4's and assign approve access to the staff who review and certify BA-4's to the RRB. If you do not wish to use a second person as a reviewer, do not assign update access. Rather assign approve access to the staff who prepare and certify the BA-4's.

Update access

This access is used only with forms that change the RRB's record of service and compensation, as explained above. Update access allows a person to complete or update a Form BA-4, but not to submit the form to the RRB. The form is updated to the system where it will await approval. The form appears in the "outstanding items" list with a status of "awaiting approval." Only a person with approve access can submit or certify the form to the RRB. While the form is pending approval, it can be modified by the original updater. Once the form has been approved, it is no longer available on the system and no further changes are possible.

Chapter 2: General Instructions for accessing the ERS system,
Continued

Explanation of access levels continued

Approve access

Only a person with approve access can certify and submit forms to the RRB. For most forms, the person with approve access will also be the person who completes the form. In the case of a BA-4, the person with approve access may be approving a form completed by an updater, as explained above, or may prepare and certify their own BA-4's. A person with approve access can delete a form created by an updater. A person with approve access can also modify a form created by an updater; however, the form must be updated again before it is approved. This is a security measure so that all the updates can be recorded for the appropriate person.

Read-only access

This access is to any summary reports in connection with the form as well as to the outstanding items list in connection with the form. Although the outstanding items list is displayed, it is in grey and no items on the list can be accessed. Read access to Form BA-4 also provides access to the BA-4 summary report. This access is envisioned for auditors or reviewers who will not be completing RRB forms but may need information about the work.

Where to get help

Problem:	Who to Contact:	At:
Password problem	Password Administrator	(312)751-3307
System problem	System Administrator	(312)751-4833
General help & to trace Form BA-12	Quality Reporting Service Center	(312)751-4992

Employers may also send an e-mail with their questions or problems to webcomments@rrb.gov. General inquiries may be routed to qrsc@rrb.gov.

Logon Procedure

Within five days of receipt of an acceptable application, the RRB will mail your user ID and password. To access the site, type the url https://secure.rrb.gov/employer. This brings up a logon screen. Enter your user ID and password. The first time you log on, you will be prompted to change your password.

Chapter 2: General Instructions for accessing the ERS system,
Continued

Browsers   This site will respond correctly only for users who access the site using at least Internet Explorer 4.0, Netscape 6.0, or compatible browsers.

Rules for setting your password   To prevent unauthorized users from attempting to guess your password, the RRB has adopted standards for setting passwords. Passwords must include at least one each of:
- number,
- alpha character- lower case, and
- alpha character- upper case.

Passwords must be at least 8 characters and up to 16 characters in length. The employer site does not use a password hint system.

Forget your password?   If you forget your password, telephone the RRB password administrator at (312)751-3307 and provide the requested information. For security purposes, you will not be provided a new password at the time of your initial call. The password administrator will telephone the number on record or will mail or e-mail the new password to the address on record.

No one at the RRB can see your password so we cannot help you remember your password. All passwords are encrypted. No one at the RRB can access the encryption program to break the codes. The encryption program was developed by an outside contractor who secures and retains the program code.

Menus   Everyone has the same bar menu across the top of the screen which contains two items, 'Logout' and 'E-mail.' The E-mail option allows you to easily send e-mail related to this site to the Webcomments mailbox.

With the exception of 'Edit My Account,' the main menu down the left side of the screen contains items specific to your access. If you have only view access, your menu will consist only of the 'Outstanding Items" and any reports related to forms to which you have access. If you have update or approve access, your menu will consist of all the forms to which you have access. There is also a utility option which is used to upload files to RRB.

To select a menu item, click on it.

Chapter 2: General Instructions for accessing the ERS system,
Continued

How to type data in the entry fields

<u>Characters</u>: Except for your password, no alpha character that you enter is case sensitive. You can type in all upper case, all lower case, or a combination of both.
<u>Money fields</u>: All compensation fields must include a decimal and two cents positions. No commas or dollar signs are permitted.
<u>SSN</u>: The social security number is entered without dashes.
<u>Prefilled fields</u>: Some pre-filled information can be changed by typing over the data. You cannot, however, correct a name or SSN on a request form by typing over the name or SSN with corrected information. If a correction is needed, telephone or e-mail QRSC.

Modify your account

If your name, phone, or e-mail address change, you can update those items by going to the *Modify My Account* screen. This is also the screen where you change your password. This screen will show your last successful login, your last failed login, and the number of failed login attempts. If this information appears to be incorrect, please telephone QRSC immediately. Your access may have been compromised.

Outstanding items

With respect to those forms for which you have access, all the outstanding items for your employer are listed under Outstanding Items. At the top of the list are items that you have access to update and/or approve. Think of this as a 'work list.' Following these items are forms to which you have access but not at the required level to work. These items are in grey and the SSN link is not active. The status of each item is indicated with an icon. To interpret the icon, place your mouse over the icon. A message will appear explaining the status. If you have update access or approve access, you can view or work the item by clicking the SSN, which is a link to the detail record.

Logout

To log out, click the logout menu item. Wait for the message that you have been logged out and then close your browser. For security purposes and to delete any session cookies, it is necessary to close your browser.

Chapter 3: How To Initiate Service And Compensation Reports

Section A: BA-4, Report of Creditable Compensation Adjustments

Enter Employee Data

Under the Forms menu, click BA-4. This brings up a screen where you enter the identifying information of the employee. Each BA-4 is a separate action. If the information you entered matches a record in the RRB database, the BA-4 screen will appear with the employee's service and compensation information pre-filled. Otherwise you will receive a message telling you there is no matching record as described below.

No Matching Record

An employer cannot decrease service and compensation for an employee when there is no record that that employer ever reported service and compensation for that employee in that year. Therefore, we initially match the name and year that you entered, along with the BA number associated with your logon, to a record in our database. If a complete match is not found, a message will appear to that effect and ask if you want to continue with this account. If you choose to continue, you are limited to filing an increase.

There are three basic reasons why there may be no matching RRB record.

1. You typed employee SSN, name, or year incorrectly.	Type over the incorrect information and resubmit.
2. The employee was omitted from the annual report and you are correcting the omission with a BA-4.	Choose the continue option. The BA-4 screen will appear with identifying information pre-filled.
Note: If you omitted a first-year employee, you may type the *full* surname on the BA-4 screen. The name will not be posted to our master records until verified by SSA, but will appear correctly on this site and reports.	
3. The original BA-3a report was filed under a BA number that does not agree with the BA number associated with your logon but is a related company.	If this occurred because of a merger or acquisition, and it is an increase adjustment, select "Continue with this account." For other situations, telephone QRSC for advice.

Continued on next page

Chapter 3: Section A: BA-4, Report of Creditable Compensation Adjustments, Continued

Enter Service & Compensation Data

The BA-4 screen will display the RRB record for the employee you are adjusting. Use this information to determine the correct adjustment. First select increase or decrease by clicking the appropriate radial button. To increase or decrease service months, click the buttons for the individual months. Enter the adjusted compensation amounts in the 'Adjustment Amt' boxes. The system will calculate the new totals and display them under 'New Amt.'

Increase and Decrease Adjustment For Same Employee

You can process an increase and decrease adjustment for the same employee and year but you cannot process two or more increases or two or more decreases at the same time. It is expected that you will combine the multiple increases (or multiple decreases) into a single adjustment. When an adjustment already exists on the ERS system for the employee and year that you select, the system will alert to the existence of the prior adjustment.

System Edits of Your Data

When you enter an amount in a BA-4 adjustment field and press the Tab key, the screen will calculate the new amount and display it. When you press the Update key, the screen will edit the amounts. You will receive an error message if the new amount is over the maximum (See note in Getting Started.) or less than zero or the new Tier amounts are not in correct relation. When you close the error message, the cursor will be at the field that requires correction.

Checkbox for Sick Pay Paid

Generally, this box will be blank. If you are not sure whether to check this box, leave it blank. If the cumulative Tier II compensation exceeds the cumulative Tier I compensation, the system will provide you an error message. If Tier II compensation exceeds the Tier I compensation because sick pay was paid to the employee in an amount equal or greater than the amount shown with the check box, then check the box and the BA-4 compensation will be processed as entered.

Chapter 3: Section A: BA-4, Report of Creditable Compensation Adjustments, Continued

BA-4 Adjustment Outside Statute Of Limitations

Completion of this section is optional and applies only if the service and compensation year is more than four years prior to the current year. If the report year is more than four years prior to the current year <u>and</u> the report is being filed timely based on the payment date, indicate the type of payment by clicking the appropriate button. For a definition of the types of payments refer to Part IV.

Process Buttons

There are three buttons at the bottom of the BA-4 screen.
<u>Update</u>, click this to process the completed BA-4.
<u>Reset</u>, click this to clear your entries (prefilled data will remain.)
<u>Cancel</u>, click this to exit the BA-4 process without filing a BA-4.

After a form has been updated, a user with approval authority will see two additional buttons.
<u>Approve</u>, click this to certify and file the BA-4 form with the RRB.
<u>Delete,</u> click this to delete the BA-4 form from the system. If a form is deleted, no record of it exists. The form cannot be recalled or re-instated. A user with Approval access, can change any data on a BA-4 but for security reasons, the BA-4 must be updated again before it can be approved.

Chapter 3: How To Initiate Service And Compensation Reports

Section B: Form BA-6a, Address Report

**BA-6a Initiated
By Employer**

Employers are responsible to annually report addresses for new hires in the previous year. Address changes are reported by the employee, not the employer.

Click BA-6a under the Forms menu. This brings up a blank BA-6a screen. Enter the employee identifying data as usual. Only the first five letters of the surname are required but a complete last name may be helpful. Keep in mind that these are new hires and, as such, may be new records at the RRB. Entry of a middle initial is optional. Type the address information and click the approve button.

Process Buttons

Approve, click this to process the completed BA-6a and certify the data to the RRB.
Reset, click this to clear your address entries.
Cancel, click this to exit the BA-6a process without updating an address.
Delete, click this to delete the BA-6a form.

Chapter 4: How to Reply to Request from RRB

Section A: Form BA-6a, Address Report

BA-6a Request   If the RRB received a service and compensation report for an employee for whom no address was reported, the RRB will send the employer a BA-6a request. The request will appear in the Outstanding Items list. To work a BA-6a request, select Outstanding Items from the menu and click the employee's SSN from the list. This brings up the BA-6a screen prefilled with identifying data for the employee. Type the address information and click the approve button. Instructions for maximum address length and state abbreviations are in the Exhibits section.

Process Buttons   Approve, click this to process the completed BA-6a.
Reset, click this to clear your address entries (prefilled data will remain.)
Cancel, click this to exit the BA-6a process without updating an address.
Delete, click this to delete the BA-6a form. Use this if the employee no longer works for your company and you have exhausted all resources for obtaining an address.

Address Cannot Be Developed   If you do not have, or cannot develop, an address for the employee, delete the pending BA-6a requests, click the e-mail button, and advise us that no address can be located. Be sure to include the SSN.

Information About The Function To Download Outstanding Addresses   Generally, address information will be entered directly to the Internet form and the download feature will not be used. The download feature will copy the file of address requests to your PC in a location you specify. This feature is intended to aid in locating address information in the employer's records. Once the address is located it is presumed that the information will be entered to the BA-6a Internet screen. There is no process by which you can upload the addresses from your PC to the BA-6a outstanding screens. Addresses can be downloaded more than once.

If you choose to post the addresses to your PC file, rather than the Internet screens, you will have to send the PC file to the RRB. If you are not working the address requests on the Internet, you will need to delete the requests from the Internet. Downloading the addresses does not remove the requests from the Internet.

Chapter 4: Section A: Form BA-6a, Address Report, Continued

How To Download Outstanding Address Requests

To download address requests, select BA-6a from the forms menu. Select the "Download Outstanding BA-6a's" option at the top of the list. (The download option will not appear if you select "Outstanding Items" because that list includes other outstanding forms.) Follow the screen instructions. If you get a security alert during the download process, click "Save." You will then select a location and file name. (If you click "Open," you can do a "File-Save-as.") When you open the saved file, it will be displayed differently depending on your screen size and settings. You may wish to un-select "wrap" which is under the Format menu if you are using Notepad.

Delete Outstanding BA-6a's Option

This function appears at the top of your Outstanding BA-6a list. Choosing this function will delete all outstanding BA-6a requests from the ERS system for the BA number corresponding to your access. This will not just delete the items from your display but from the display of anyone else who has BA-6a access for that BA number.

This function is intended to be used by persons who had first downloaded the BA-6a requests to their PC, worked the requests, and filed the addresses with the RRB via another means such as a disk report. It is best not to immediately delete all requests after downloading because if the downloaded file is lost or corrupted, you cannot restore the deleted requests. We suggest that you delete the requests when the addresses are filed with the RRB.

Chapter 4: How to Reply to Request from RRB

Section B: Reply to GL-129a Request

GL-129a Request

If the RRB receives from an employee a protest of the service and compensation reported on Form BA-6, the RRB will send the employer a GL-129a request. The request will appear in the Outstanding Items list which will be displayed when you first logon. You can work the item at this point or select it later by clicking the outstanding items from the left menu and click the SSN link for the GL-129a. This brings up the GL-129a screen. The screen is prefilled to show the RRB's record of service and compensation and what the employee is claiming that his or her record should be. Determine the correct service and compensation for the employee.

Service & Compensation Is Correct As Reported

If the RRB record is correct, click the 'Correct as Reported' button. This brings up a screen where you enter an explanation as to why the employee's claim is not being granted. The RRB uses this information to reply to the employee so please provide a complete explanation in terms that the employee will understand.

Adjustment Is Being Granted

If the RRB record is being adjusted to agree with the employee's claim, click the 'Adjustment Granted' button. This brings you to a BA-4 screen prefilled with identifying data and the adjustment claimed by the employee. Click the update button.

Adjustment Is Being Granted But Not Exactly As Employee Claims

More than claimed. If you are granting the employee's adjustment but are increasing the amounts over what the employee claimed, click the 'Adjustment Granted' button. When the pre-filled BA-4 appears, type over the prefilled compensation amounts or click additional service months. An explanation is not required if you are granting more service or compensation than the employee claimed but if you feel that an explanation would be helpful, follow the steps below.

Less than claimed. If you are granting the employee an adjustment but in an amount less than the employee claimed, click the 'Correct as Reported' button, and explain the adjustment you are making on the next screen. After filing the explanation you will have to file a BA-4 for the correct adjustment, Follow the instructions under BA-4 in the previous section.

Chapter 5: Informational Notices to Employers

Reserved

Chapter 6: E-Mail: Notices to Employers and Employer Comments to RRB

Purpose Of E-Mail Notices

The purpose of the e-mail notices is to alert employers that new forms have been posted to the Internet site so that the employer can log onto the Internet and access the new items. The e-mail messages are a service to help employers receive timely information. Without the notices, an employer would have to access the RRB site every day to ensure timely receipt of new forms.

Tracing Notices

The Internet system also generates tracing notices when a reply is not made to an Internet request within the specified time, usually 30 days. Tracing notices are sent to the same persons as the original notices. Only one tracing notice is sent to the employer. A second tracing notice is sent, as an alert, to RRB staff who will then contact the employer by phone.

One tracing notice is also sent if a user updates a Form BA-4 on ERS but the form has not been approved for 30 days. There is not timeframe for approving Forms BA-4. This notice is merely a reminder.

Who Gets E-Mail Notices

When a new request form or informational notice is posted to the ERS Internet site for a particular employer, the system generates an e-mail notice to all users from that employer who have access to that form and who also have an e-mail address on the ERS. The system initially obtains e-mail addresses from the Form BA-12, Application for Employer Reporting System but each user maintains this information.

Chapter 6: E-Mail: Notices to Employers and Employer Comments to RRB, Continued

How To Modify An E-Mail Address

To add, change, or delete an e-mail address, sign on to the system and select "Modify my Account" from the main menu and make any changes.

Note: Any changes to your e-mail address on the ERS Internet system will only change that system. If you are also a designated contact official, your e-mail address may also be stored in our centralized contact official database. Generally, the RRB uses the centralized contact official database to address paper forms being sent by mail but RRB staff may also refer to the database to contact you. In the future, the RRB plans to integrate these systems. Until that time, if you change your e-mail address on ERS and you want this change to be made universally; please let us know by selecting the e-mail function on the main ERS menu and typing a message to that effect.

Am I Required To Provide An E-Mail Address On ERS?

It is not a requirement that a user provide an e-mail address to ERS. The RRB provides E-mail notices as a service. If you want to discontinue receiving e-mail notices, you may delete your e-mail address by logging onto the system and selecting "Edit My Account."

An employer is still responsible for all requests and notices sent via the Internet whether or not the employer is receiving e-mail notices. Therefore, an employer should ensure that at least one user will either be receiving e-mail notices for each form or will be logging onto ERS at least once a week to check for outstanding requests and notices.

Send comment or question to RRB via ERS

The ERS site also includes a function for sending e-mail to the RRB. The purpose of the e-mail function is so users can easily express an opinion or ask a question. To access this area, click the menu item "E-mail" along the top menu bar. Type your message or question and click "send." This is secure e-mail. The message is actually created behind the RRB firewall; It is not transmitted from your PC to the RRB. If your message requires a reply, you should receive a reply within three days. If you do not receive a reply, please telephone the Quality Reporting Service Center.

You can also send e-mail to this site via your usual e-mail program by typing webcomments@rrb.gov in the "to" area, however this is not secure. The webcomments mailbox is reserved for comments and questions related to ERS. Please direct general inquiries to qrsc@rrb.gov.

Chapter 7: Summary Report of Compensation Reported Using the Internet

Access Employer Reports

To access available reports, click "Reports" on the left-side menu. Currently, the only report available is "BA-4 Summary." Click the report title.

BA-4 Summary Report

First select the processing year for which you want a report. Then select the report detail. If you choose quarterly (all) or monthly (all) you will receive all the activity for the year summarized by quarter or month. The remainder of the menu choices will list the activity only for an individual quarter or month. The BA-4 Summary Report provides the number of individual activity records and the net RUIA, Tier I, and Tier II compensation processed on this system during the period selected. If you adjust service months only, this will count as an activity record. The monthly or quarterly amounts are summarized in yearly totals at the end of the report. Negative amounts appear with a negative sign.

Explanation of RRB Processing Date

Data for reports is accumulated by the RRB processing date. In general, this is the next processing day following the date the BA-4 was approved on the system. Reports approved on a Friday are usually processed to RRB accounts on Saturday. However, if the end of the month is Friday and the situation is not clear from your report, you can telephone QRSC to determine the processing date. In some situations, weekend processing may occur before midnight on Friday or as late as Sunday.

Chapter 8: Security Guidelines

Introduction   The site, https://secure.rrb.gov/employer, is an official United States Government site intended for use by employers covered under the Railroad Retirement and Railroad Unemployment Insurance Acts in filing service and compensation reports with the Railroad Retirement Board and related activities. The site is referred to as the Employer Reporting System (ERS.) The Railroad Retirement Board (RRB) is taking all reasonable measures to ensure the security of the information sent and received via the ERS site.

Transmission Security   RRB.gov/employer utilizes a secure transmission protocol (Secure Sockets Layer – SSL) to provide encryption protection for the communication between your computer and the server that RRB uses for the Employer Reporting Internet site. You will note that the address to the site begins "https" rather than "http." This indicates you are connecting to a secure site using Secure Sockets Layer.

Authentication of User   The RRB uses a paper application form to ensure that only authorized users have access to the system. The application is signed by an authorized representative of the employer and reviewed by the RRB. Once authorized, future authentication is controlled by a logon and password. A logon, if used to file forms, has the same status as a signature on a paper document.

Password Security   It is the responsibility of each individual to keep secure the password supplied for the purpose of accessing the RRB employer site. In applying for access, you agree not to share your password and to log onto the system only as yourself. All individuals requiring access to the system should apply for their own access. Users are responsible for all use of their password accounts. The system will prompt you to change your password every 60 days. If you do not access the system that often, you will be prompted to change your password upon accessing the system but in no case will passwords remain active longer than 400 days.

Password Lockout   If you type your password incorrectly more than three times, you will be locked out of the ERS system. If you are locked out, or you suspect that your password may have been compromised, contact the password administrator at (312)751-3307.

Chapter 8: Security Guidelines, Continued

Password Termination

When an employee who has access to this system, leaves your company, notify the RRB to terminate their access by completing Form BA-12. Mail the form according to the instructions or fax to (312)751-7190. If you suspect that an employee is, or may become, a security problem, immediately call the password administrator or the QRSC at (312)751-4992. The RRB has the capability to lock out users on a temporary or permanent basis.

Session Timeout

For security reasons, a session will not remain open indefinitely. Fifteen minutes of inactivity will result in an open session being deleted. Any data entered to a screen but not "updated" or "approved" depending on the options for that screen, will be lost when a session is timed out or closed for any reason.

Privacy of Both User and Data

The RRB is committed to protecting privacy. Your logon and password control confidentiality of employer data by making available only information you are authorized to receive. System administrators will not read files unless absolutely necessary in the course of their duties, and will treat the contents of those files as private information at all times. Any personal information you provide as part of the application process will be used only for the purposes described.

The ERS system maintains statistical information concerning network traffic flow and volume including date, time, Internet protocol, type of browser and operating system. We do not collect personal information about you *just because you visit the site*. An attempt to identify individual users will be made if, and only if, illegal behavior is suspected. See "Law enforcement investigations."

Law Enforcement Investigations

For site security purposes, we have software that can identify users. If illegal behavior is suspected, this software could be used to:
   1. trace the source of an attack designed to disrupt the site,
   2. trace the source of an unauthorized attempt to modify information stored on this system, or
   3. prove whether fraud has occurred in connection with a law enforcement investigation.

Use of this system constitutes consent to such tracing and auditing.

Chapter 8: Security Guidelines, Continued

Unauthorized or Fraudulent Use

Any person who knowingly and willingly:

1. Makes any representation that is false

   a. to obtain information from RRB records and/or,

   b. intended to deceive the RRB as to the true identity of an individual; or

2. Obtains unauthorized access and/or modifies information on this site,

   could be punishable by a fine or imprisonment, or both.

Cookies

This site uses temporary session "cookies" to give you a single, uninterrupted session when you are online. This allows you to move from one secure section to another without having to re-enter your logon and password. We do not use persistent "cookies" which are permanent files placed on a visitor's site to allow a Web site to monitor a visitor's use of the site. To the extent we use any cookies; they expire and are immediately deleted no later than the closing of the Web browser.

Chapter 9: Form DC-1 on RRBLink Internet Site

Introduction These instructions cover the electronic filing of Form DC-1, Employer's Quarterly Report of Contributions under the Railroad Unemployment Insurance Act, using the RRBLink System. These instructions are of a general nature and include an employer's responsibilities with regard to security and accuracy of data. Instructions for the individual screens are provided by the RRBLink System Administrator (SA) when your enrollment information has been verified.

About RRBLink Site The site, https://www.iglobalaccess.com/rrblink.asp is operated by U.S. Bank for official United States Government business. The site is intended for use by employers covered under the Railroad Retirement Act (RRA) the Railroad Unemployment Insurance Act (RUIA) and the Railroad Retirement Tax Act (RRTA) to:
1. Deposit Tier I and Tier II taxes,
2. Deposit RUIA contributions,
3. File Form DC-1, and
4. Reimburse unemployment and/or sickness benefits.

The bank provides tax deposit information to the Internal Revenue Service and Form DC-1 and benefit reimbursement information to the RRB.

To Obtain an Enrollment Form To obtain an enrollment form, contact the RRBLink System Administrator at 1-888-273-2265 or e-mail to tammy.t.robinson@usbank.com. For security purposes and to assist in fraud investigations, the enrollment form must be completed in writing, signed, and mailed to the bank.

Logon ID, Password, and PIN Upon receipt of an enrollment form, the system administrator will verify your enrollment data. The SA will then provide a logon identification, PIN, and password by mail. The Logon ID and PIN will be used in lieu of the business filer's signature to file a Form DC-1 form electronically. A user will be required to change the password and PIN provided by the SA the first time they log onto the system. Passwords will expire at midnight on the first day of the following month.

Chapter 9: Form DC-1 on RRBLink Internet Site, Continued

Standards for Setting Passwords

To prevent unauthorized users from attempting to guess your password, the RRB recommends the following standards for setting passwords. Passwords should include one or more of the following symbols, * (star), @ (at), and # (pound) and at least one number and one alpha character. It is also recommended that your password be at least eight characters and that you mix upper and lower case letters. You cannot re-use your password for 90 days.

Forget Your Password?

The RRBLink site does not use a password hint system. If you forget your password, telephone the system administrator at the number shown above or on the web site. The SA will take the information but, for security purposes, will not provide you a new password at the time of your initial call. The SA will call the telephone number on record or will mail the new password to the address on record. No one at the bank or the RRB can see your password. All passwords are encrypted.

You Are Responsible To Secure Your Password

It is the responsibility of each individual to keep secure their logon ID, password, and PIN used for the purpose of accessing any official government site. You must not share your password nor borrow a password. You must log onto the system only as you. All individuals requiring access to the system should complete an enrollment form and receive their own password. Users are responsible for all use of their password accounts. The system will prompt you to change your password the first time you log on after the first day of the next month. Therefore, a password cannot be in use for more than 31 days.

Suspension of Access To RRBlink

The system administrator may suspend a user's access to the RRBLink system if access is abused. If your access has been denied, contact the system administrator. Your logon identification may have been compromised. If you suspect that an employee of your company, who has access to RRBLink, has or may become a security risk, telephone the system administrator immediately.

Chapter 9: Form DC-1 on RRBLink Internet Site, Continued

Privacy

US Bank and the RRB are committed to protecting your privacy. Any personal information you provide as part of the application process will be used only for the purposes described. Personal information about you is not collected just because you visit this site. The system does, however, maintain statistical information concerning network traffic flow and volume including date, time, Internet protocol, type of browser and operating system. No attempts are made to identify individual users unless illegal behavior is suspected.

Law Enforcement Investigations

For site security purposes, software monitors network traffic and activity. The software may be used to trace the source of an attack designed to disrupt the site, to trace unauthorized modification of information stored on this system, or to prove whether fraud has occurred in response to an authorized law enforcement investigation.

Unauthorized Access And Fraudulent DC-1 Are Subject To Prosecution

Unauthorized access or modification of information on this site is subject to prosecution under federal law. Knowingly making a false or fraudulent statement or report or willfully failing to make a report or furnish information is subject to prosecution under Section 9(a) of the Railroad Unemployment Insurance Act.

Cookies

This site uses temporary session "cookies" to give you a single, uninterrupted session when you are online. This allows you to move from one secure section to another without having to re-enter your PIN and password. We do not use persistent "cookies" which are permanent files placed on a visitor's site to allow a Web site to monitor a visitor's use of the site. To the extent we use any cookies; they expire and are immediately deleted no later than the closing of the Web browser.

Employer demographic information

Within the RRBLink site, you will select a specific employer from the list of employers for which you are authorized to perform tax related activities. You will then see the demographic information for the employer you selected. Always review this information. If this information is not correct, notify the RRBLink System Administrator in writing via the US Postal Service or by e-mail to tammy.t.robinson@usbank.com with the correct information.

Chapter 9: Form DC-1 on RRBLink Internet Site, Continued

Contribution rate provided by RRB

The first time you log onto the UIC page you will see a disclosure screen that requires your acceptance to continue. The statement advises you that the contribution rate for this transaction is being provided by the RRB. If you think that the rate pre-filled to the form is wrong, you must contact the RRB at (312) 751-4992. The quarter and year are pre-filled but the quarter may be changed.

Many benefits to using RRBLink over paper DC-1

Employers are encouraged to file their Form DC-1 using the RRBLink Internet system if they have Internet capability. Internet filing is more accurate and efficient for both the employer and the RRB.

History of transactions	Employers can see history transaction for the 400 previous days for all Tax transactions, DC-1's filed, and UI/SI reimbursements.
One logon for taxes & DC-1	Filing your DC-1 Return and making your payment can now be a simultaneous process.
Settlement date	Using RRBLink, you have the option to set a future settlement date for both your tax deposit and DC-1. The option to complete the information ahead of time allows you flexibility in your work schedule. If you want to make a change before the transaction has settled, you can return to the application and make the necessary changes.
Accuracy	The system calculates your quarterly contribution based on the contribution rate provided by the RRB and the compensation subject to RUIA submitted at the screen. If you correct a prior Form DC-1, you enter amounts as originally reported and the correct amounts. The system will calculate the adjustment. This prevents math errors and errors caused by using the wrong contribution rate.
Verification of filing	As opposed to filing by mail, you have a record that the transaction was sent and received. Once you hit submit, the system will return to you a completed Form DC-1 with an EFT verification number at the top. Print this screen, or notate this number, for your records.

Chapter 9: Form DC-1 on RRBLink Internet Site, Continued

References   Section 8 of the Railroad Unemployment Insurance Act (RUIA) governs the calculation and payment of contributions. Part 345 of the Regulations of the RRB governs the contributions and contribution reports. The following summarizes provisions specific to filing Form DC-1 electronically.

- 345.111 (a) General. Except as provided in paragraph (a) (2) of this section, every employer shall, for each calendar quarter of each year, prepare a contribution report, in duplicate, on Form DC-1. *If the Form DC-1 is filed electronically, no duplicate submission is required.*

- 345.113(a) Each contribution report on Form DC-1 shall be signed by hand by: (1) The individual, if the employer is an individual; (2) The president, vice president, or other duly authorized officer, if the employer is a corporation; or (3) A responsible and duly authorized member or officer having knowledge of its affairs if the employer is a partnership or other unincorporated organization. *(b) The Form DC-1 may be filed electronically through the Board's authorized agent. If filed electronically, no further authenticity is required.*

- 345.114 Each employer's contribution report, together with any prescribed copies and supporting data, shall be filled out in accordance with the instructions and regulations applicable thereto. The prescribed forms may be obtained from *or accessed by contacting* the Board. An employer will not be excused from making a contribution report for the reason that no form has been furnished to such employer. Application should be made to the Board for the prescribed forms in ample time to have the contribution report prepared, verified, and filed with the Board on or before the due date.

- Sec. 345.115 Place and time for filing contribution reports. Each employer shall file its contribution report with the Chief Financial Officer, Railroad Retirement Board, 844 North Rush Street, Chicago, Illinois, 60611, *or the Chief Financial Officer's designee.* The employer's contribution report for each quarterly period shall be filed on or before the last day of the calendar month following the period for which it is made. If such last day falls on Saturday, Sunday, or a national legal holiday, the report may be filed on the next following business day. If mailed, reports must be postmarked on or before the date on which the report is required to be filed.